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TA-53 Procedure

Occurrence Reporting

53FMP-120-01.0

Effective date: January 2, 1996

APPROVALS

Approved by: Signature on File
Richard D. Ryder
TA-53 Facility Manager

Date 19 Dec 95

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1.0 Introduction

Investigation and reporting of abnormal occurrences is required by DOE Orders 232.1 (formerly 5000.3B) *Occurrence Reporting and Processing of Operations Information*, and 5480.19 *Conduct of Operations Requirements for DOE Facilities*. Additionally, such reporting is also required by 10 CFR 830.350 for operational occurrences at nuclear facilities. Director's Policy 120 states that the Laboratory shall maintain a reporting system that assures that both DOE and Laboratory managers are informed of occurrences that could

- affect the health or safety of the public or Laboratory workers,
- have a noticeable adverse effect on the environment,
- impact security, or
- have a serious impact on the Laboratory's ability to achieve its mission.

Reporting occurrences is done for two reasons: to inform line managers of conditions which may require correction, mitigation and further reporting to Laboratory or DOE management, and to ensure that formal investigation into the causes of the occurrence is done so that processes can be improved and corrective actions can be taken to prevent or reduce the frequency of similar occurrences within Facility Management Unit 61, the Laboratory, and throughout the DOE complex.

2.0 Purpose

The purpose of this procedure is to ensure that the process for reporting, categorizing, and investigating events and conditions that may meet the criteria for reporting under DOE Order 232.1 is understood and followed at FMU 61.

3.0 Scope

This procedure is limited to describing the FMU 61 implementation of the Laboratory's occurrence reporting program. This procedure is not concerned with internal reporting and investigating mechanisms used by facility tenant organizations to assess and improve their operations.

4.0 Definitions

ACCCOMPLEX — The designation applied to FMU 61 for Laboratory occurrence reporting purposes.

Facility Management Unit (FMU) 61 — One of 22 facility management units defined by the Laboratory. FMUs are "owned" by a Division Director and managed by a Facility Manager on behalf of the owning DD. FMU lies entirely within TA-53 and consists of all structures therein, except for those specifically owned by FMU 81, Infrastructure & Utilities.

Facility Manager (FM) — That individual who has responsibility for the operation of a facility or group of related facilities, including authority to direct physical changes to the facility.

Facility Manager Designee (FMD) — That person within a facility tenant organization who has been delegated responsibility for the operation of a facility or group of facilities by the FM. FMD duties are primarily related to occurrence reporting and follow-up.

Facility Representative (FR) — A DOE field office individual (or his/her designee) assigned responsibility by the head of the field organization for monitoring the performance of the facility and its operations. This individual is the primary point of contact with the contractor and is responsible to the appropriate program secretarial officer (PSO) and the head of the field organization for implementing the requirements of DOE Order 232.1.

Near Miss (*sic*) — A situation in which an inappropriate action occurs (or a necessary action is omitted), but is detected and corrected before an adverse effect on personnel or equipment results.

Occurrence Investigator — An individual from ESH-7, Occurrence Investigating and Reporting, who is assigned to work with the FM (or FMD) from the time of initial notification, through the causal analysis part of the process in determining the facts surrounding an occurrence. The occurrence investigator enters reports into ORPS on behalf of the FM (or FMD).

Off-Normal Occurrence — An abnormal or unplanned event or condition that adversely affects, potentially affects, or is indicative of degradation in the safety, security, environmental, or health protection performance or operation of a facility.

Safety Class Structures, Systems, or Components (SSC) — Systems, structures, or components, including primary environmental monitors and portions of process systems, whose failure could adversely affect the safety and health of the public, facility personnel, or site workers, or cause unacceptable impact to the environment. In DOE Order 5000.3B, this equipment was called Class A Equipment.

Safety Significant Structures, Systems, or Components — Systems structures or components not designated as Safety Class SSCs but whose preventive or mitigative functions is a major contributor to defense in depth and/or worker safety as determined from hazard analysis. In DOE Order 5000.3B, this equipment was called Class B Equipment.

Unusual Occurrence — Non-emergency occurrence that has significant impact or potential for impact on safety, health, environment, security, or operations. Unusual Occurrences require an oral notification to DOE Headquarters.

5.0 Responsibilities

5.1 Overall Responsibility

Categorization of occurrences and coordination with the Occurrence Investigation and Reporting group, ESH-7, and with the DOE Facility Representative is the responsibility of the TA-53 Facility Manager and his/her Designees.

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5.2 Specific Responsibilities

Note: Each worker at TA-53 has the responsibility to inform Laboratory management of conditions or events that he/she believes might warrant investigation and reporting to the DOE. Workers receive training in occurrence reporting by reading and doing the self-assessment in the ESH-13 *Conduct of Operations and Occurrence Reporting* publication (Course No. 9385).

If you are	you shall
the Facility Manager	<p>maintain a schedule of FMDs on-call and ensure that all TA-53 organization offices, the FMDs, the Laboratory Emergency Management and Response office (EM&R), and ESH-7 are provided with copies of the schedule.</p> <p>provide a communications device (as necessary) to FMDs on-call to ensure their availability in case of a possible occurrence when notified of a potential occurrence</p> <ul style="list-style-type: none"> • ensure the event or condition is stabilized • notify EM&R (7-6211), or alternatively, in the event there is no emergency, notify ESH-7 (5-0033) • notify the DOE FR, or ensure that the FR is notified by either ESH-7 or EM&R • make other notifications as required by DOE Order 232.1 • participate in occurrence critiques led by ESH-7 investigators and assist in subsequent investigations to the extent necessary to ensure completeness • categorize the occurrence as to whether and at what severity it meets the reporting criteria* • approve the notification report, update reports, and final report, and provide a preliminary evaluation of the occurrence and its effect on the facility, system, program, etc., and a final evaluation and lessons learned • follow through by ensuring that corrective actions are completed
a Facility Manager Designee	<p>Ensure that you can be contacted by facility personnel or EM&R when scheduled to be on-call.</p> <p>When notified of a potential occurrence</p> <ul style="list-style-type: none"> • ensure the event or condition is stabilized • notify EM&R (7-6211), or alternatively, in the event there is no emergency, notify ESH-7 (5-0033)

* As an aid to FMDs who may not be called upon to categorize occurrences on a regular basis, facility-specific interpretations of some common events/conditions are provided in Attachment 1.

If you are	you shall
a Facility Manager Designee (continued)	<ul style="list-style-type: none"> • notify the DOE FR, or ensure that the FR is notified by either ESH-7 or EM&R • make other notifications as required by DOE Order 232.1 • categorize the occurrence as to whether and at what severity it meets the reporting criteria • notify the FM at the earliest convenient time • participate in occurrence critiques led by ESH-7 investigators and assist in subsequent investigations to the extent necessary to ensure completeness • approve notification report, update reports, and final report, and provide a preliminary evaluation of the occurrence and its effect on the facility, system, program, etc., and a final evaluation and lessons learned.

5.3 Transfer of Responsibility

FMDs on-call may arrange for transfer of responsibility for specific occurrences to one of the other trained FMDs who is more familiar with the area or operation involved. Reporting deadlines shall not be missed as a result of a transfer of responsibility. The FMD on-call must follow the reporting and notification process until the alternate FMD is on the scene and prepared to assume responsibility.

6.0 Scheduling Facility Manager Designees On-Call

Facility Managers Designees are selected from the ranks of organizational managers (group level or above) at TA-53. During times that the LANSCE accelerator is operating, FMDs are on call for one week at a time, 24 hours per day. During periods when the accelerator is undergoing extended maintenance, FMDs are on call from 8:00 a.m. Monday through 5:00 p.m. Friday, except for Laboratory holidays. At the request of the FM, the Facility Management Office administrator distributes an updated FMD schedule to the FMDs, to all organization offices at the facility, to EM&R, and to ESH-7. If individual FMDs wish to alter their on-call schedule they are responsible for finding an alternate and informing the Facility Management Office (665-2584). Upon notification of a change in the FMD schedule, the office administrator will issue a revised schedule.

7.0 Training

The Facility Manager and Facility Manager Designees must be trained in the Laboratory's occurrence investigating and reporting program. This training is done by ESH-13 (Course No. 6206). Refresher training is required every two years, or when the Laboratory implementation of the program is significantly changed.

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8.0 Records

Official records of all 232.1 occurrences are kept on the Occurrence Reporting and Processing System (ORPS), operated by the Idaho National Engineering Laboratory for the DOE. Local records with supplementary information are maintained by ESH-7. The TA-53 Facility Management Office also maintains files of notification, update, and final reports as entered into ORPS, and other relevant information.

9.0 References

DOE Order 232.1, *Occurrence Reporting and Processing of Operations Information*, October 30, 1995

LANL Occurrence Investigating and Reporting Manual, ESH-7-94:120-01.0, August 1994

LANL Director's Policy 120, *Occurrence Reporting*, April 13, 1992

DOE Order 5480.19, *Conduct of Operations at DOE Facilities*, July 9, 1990, Guidance, Chapters VI and VII

LANL Program Requirements Document PRD120-01.0, *Occurrence Investigating and Reporting Program*, April 20, 1994

10.0 Attachments

Attachment 1 TA-53 Facility-Specific Interpretations of the Los Alamos Categorization Matrix

Attachment 2 List of Trained Facility Manager Designees

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Facility-Specific Interpretations of Reporting Criteria

Category 1.D. Loss of control of radioactive material or spread of radioactive contamination.

Movement of suspect, or even known, radioactive material into an uncontrolled area for the purpose of conducting a radiation survey in a low-background area prior to the release of the material is not reportable as long as the material itself remains under control.

Category 1.I. Operations.

RSS trips caused by an event, whether inadvertent, conscious, or deliberate, that result in proper performance of the RSS to mitigate/eliminate the hazard to personnel are not reportable if no actual unsafe condition results from the event. Should all but one remaining barrier to an actual unsafe condition be compromised, the event should be considered for reporting under category 9.B. Cross Category Items (Near-Miss).

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FMU-61 (ACCCOMPLEX) Facility Manager Designees

(as of December 19, 1995)

Torben Brun, MLNSC
 Dan Fitzgerald, AOT-2
 Earl Hoffman, DDAOT
 Andrew Jason, AOT-1
 Michael Lynch, AOT-5
 Robert Macek, DDAOT
 Michael Thuot, AOT-8
 Richard Werbeck, AOT-7
 Martha Zumbro, AOT-6